

# **GOVERNANCE AND MANAGEMENT POLICY**

## **OVERVIEW**

**SUNBEAMS** aims to ensure all legal and financial requirements are implemented and recognised through appropriate governance practices, providing quality education and care, meeting the principles, practices and elements of the Early Years Learning Framework, My Time Our Place and the National Quality Standard.

We will ensure there are always appropriate governance arrangements in place (as per Quality Area 7.1.1). There will be ongoing process of review and evaluation and all relevant information will be readily available to all stakeholders.

For Regulations, the Management is the Approved Provider. The Approved Provider will ensure that all aspects of governance and management are clearly articulated and compliment the service Philosophy. The Approved Provider will ensure that copies of the current policies and procedures required under Regulation 168 are always available for inspection at the service (as per Regulation 171) and are reviewed and updated accordingly.

Sunbeams is a member of Network of Community Activities, which provides up-to-date information regarding any government changes the have been made to OOSH care services, as well as professional development opportunities around childcare.

### **Organisation Size and Structure**

**SUNBEAMS** is a private service that provides Before School, After School and Vacation Care services for children attending Lakes Grammar – An Anglican School and surround.

Governance is the process that directs and controls Sunbeams OOSH, ensuring accountability and supporting decision making.

The Approved Provider and Nominated Supervisor of the Service accept the legal responsibilities associated with establishing, administering, and maintaining Sunbeams OOSH.



Management may include Persons with management or control of the service (PMC) as defined by ACECQA. Persons with management or control may participate in executive or financial decision-making or have authority or responsibility for, or significant influence over, the planning, direction or control of the activities or the delivery of the education and care service (ACECQA 2023).

Sunbeams has the following established positions:

<b>Approved Provider</b>	Margaret Ballam  APP: 40015570
<b>Nominated Supervisor</b>	Margaret Ballam
<b>Educational Leader</b>	Peta Southwell
<b>Responsible Persons</b>	Margaret Ballam, Jackson Blackshaw, Peta Southwell, Caryn Bissaker, Abbi Davies, Caitlin Mahoney

### THE APPROVED PROVIDER IS LEGALLY RESPONSIBLE FOR:

- Ensuring compliance with the Education and Care Services National Law and Education and Care Services National Regulations
- Ensure all staff have knowledge of and adhere to the policies including students, staff, and volunteers.
- Complying with Family Assistance Law.
- Ensure all notifications are made to the Department, in writing, within the specified time frames as outlined in the Regulations.
- notifying the regulatory authority of any changes to the Nominated Supervisor at least 7 days prior to the appointment (or as soon as possible, but no more than 14 days after commencement)
- notifying the regulatory authority within 14 days of any changes to Persons with management or control
- notifying the regulatory authority of any change to the ages of children being educated and cared for by the service; and any change to the nature of education and care offered by the service (reg 175 (2)(a))

- Appointing a Nominated Supervisor, an Educational Leader and ensuring this is communicated to all stakeholders.
- Ensuring background checks, working with children checks, are completed for all staff and educators
- Determining whether a person working in the service is a 'fit and proper person'
- supporting the Responsible Person in their role, providing adequate resources to ensure effective day to day operation of the Service
- Developing a clear and agreed philosophy, which guides business decisions and the work of management and staff
- Acting honestly and with due diligence
- Ensuring there is a sound foundation of policies and procedures that complies with all legislative and regulatory requirements, and that enables the daily operation of the Service to be in line with the Service's philosophy and goals
- Maintaining up to date and current policies and procedures for compliance by all educators
- Confirming incident, injury, illness or trauma records are stored in a kept in a safe and secure place until the child is 25 years of age. In the event of a death of child while being cared for by the service or may have occurred because of an incident, the records must be kept until seven years after the death.
- Being an employer, including all legal and ethical responsibilities that this entails
- Appointing staff and monitoring their performance
- Ensuring educator qualification requirements are current
- Ensuring all educators and staff have a clear understanding of Sunbeams management structure and reporting structure.
- Providing clear and direct written and verbal feedback and instruction that is suitable and appropriate to the task ensuring the Service remains financially viable and can meet its debts and other obligations as they fall due
- Managing control and accountability systems
- Reviewing the Service's budget and monitoring financial performance and management to ensure the Service is always solvent and has sound financial strength
- Approving annual financial statements and providing required reports to government bodies and maintaining appropriate delegations and internal controls



- Complying with funding agreements where appropriate
- Reviewing the work process regularly
- Completing a Quality Improvement Plan (QIP) and Self-Assessment Tool for the Service and updating it at least annually.
- Establishing clearly defined roles and responsibilities for the members of the Management Committee and staff, individually and as a collective, and clearly articulating the relationship between all stakeholders.
- Ensuring the educational program is based on an approved learning framework (MTOP) and contributes to each child's sense of identity and wellbeing
- Complying with all other NSW and Australian Governments' legislation that impacts upon the management and operations of a Service.
- Ensuring all information that may impact on the organisation's performance is communicated with Early Childhood Education and Care Directorate if required.

Margaret Ballam, in consultation with Sunbeams team of educators, is responsible for:

- Ensure compliance with the following.
  - ☞ Education and Care National Regulations
  - ☞ Education and Care National law
  - ☞ National Quality Standards.
- ✓ The appointment of new staff, determining terms of appointment, evaluating performance, and developing and maintaining succession plans for staff
- ✓ Identifying and maintaining an effective risk management framework.

### **THE NOMINATED SUPERVISOR IS RESPONSIBLE FOR:**

- ✓ • adhering to the Education and Care Services National Law and National Regulations
- ✓ • developing ethical standards and a code of conduct which guide actions and decisions in a way that is consistent and reflective of the Service's expectations
- ✓ • undertaking periodical planning and risk assessments and having appropriate risk management strategies in place to manage risks faced by the Service
- ✓ • ensuring that actions taken, and decisions made are clear and consistent and will help build confidence in all stakeholders
- ✓ • the day-to-day management of the Service



- ✓ • the effectiveness of the Service's well-defined partnership between the Management Committee and the Nominated Supervisor. The partnership requires clear understanding of roles and responsibilities, and regular and open communication.
- ✓ • producing outcomes together with educators and staff. Educators must agree on their responsibilities and work according to current policies and procedures.
- ✓ • providing educators with training, resources and support
- ✓ • identifying and reporting if something significant occurs (for example: Work Health and Safety; Fraud Prevention; Complaint handling)
- ✓ • identifying work required for completion and delegate to the appropriate educator/staff
- ✓ • ensuring educators and staff do not delegate responsibilities for which they are accountable for or have been delegated to them by Management
- ✓ • delegate all tasks in writing with a clear due date
- ✓ • ensuring educators are adhering to service policies and procedures.

### **Staff/Employment Plan**

Margaret Ballam as The Approved Provider of Sunbeams OOSH, is responsible for staff selection and monitoring, to include recruiting, selecting, orienting, evaluating the performance of, rewarding and, if necessary, dismissing of staff, as detailed in Sunbeams Staffing Policy.

- ✓ Staff will be recruited according to Sunbeams Staffing Policy
- ✓ All staff are required to hold current WWCC and First Aid qualifications (See Sunbeams Staffing Policy)
  - Supervisors/Coordinators ideally have a minimum of 3 years experience in a relevant field and demonstrated ability to work with children and staff and a minimum qualification of Certificate III in Early Education and Care. Other qualifications may be considered once confirmed suitability according to ACECQA qualifications requirements.
  - Assistant Coordinators ideally have relevant experience to successfully fulfill the position, and should be working towards a Child Care qualification
- ✓ Margaret Ballam will ensure training needs indicated by staff appraisals/evaluations and other service requirements. All staff will be given opportunities to upgrade their qualifications in line with the National Quality Framework



### Service Delivery Model

Margaret Ballam, as Owner and Approved Provider of Sunbeams OOSH, is responsible for the Strategic planning, reviewing and approving strategic direction and initiatives.

**SUNBEAMS** has been providing Before School, After School and Vacation Care services for children attending Lakes Grammar – An Anglican School since March 2010. Since our small beginnings of approximately 8-10 children in the mornings and afternoons, with just 2 staff, Sunbeams has grown consistently each year, and now currently enrolls 15-25 children in the mornings, up to 45 children in the afternoon, and up to 50 children during the Vacation Care periods. Sunbeams is approved for up to 66 children, and it is our forward planning to slowly but consistently grow to meet the full capacity of Sunbeams.

- ✓ Sunbeams is located on Lakes Grammar – An Anglican School and serves the families of the Lakes Grammar community. Prospective customers are primarily new families enrolling their children in kindergarten and other year groups. Each year when the school runs orientation and information sessions, Margaret Ballam and a nominated supervisor have a presence, with information packs to hand out and display folders to show prospective parents the wide variety of activities children engage in.
- ✓ Fees are set in accordance with its annual budget to meet the income required to develop and maintain a quality service for children and families. We strive to ensure that our service is affordable and accessible to families in our community.
- ✓ The Approved Provider ratifies the budget annually, or as necessary, and monitors it carefully throughout the year (See Sunbeams Fees Policy)
- ✓ Sunbeams provides all families with information relating to the Child Care Subsidy and Additional Child Care Subsidy. Families who are eligible for the Federal Government's Child Care Assistance subsidy will only be required to pay the daily gap fee applicable to their financial circumstances. To have CCS applied to their account, families must first register with the Family Assistance Office (See Sunbeams Fees Policy)
- ✓ Business administrative policies related to Bookings and Cancellations, Absences, Service Closures, Payment of Fees, Debt Recovery, late Collection Fee, Methods of Payment, Confidentiality and Fee increases are provided to families and detailed in the Sunbeams Fees Policy Attached



### CCS Operations

- ✓ Margaret Ballam, as Owner and Approved Provider of Sunbeams OOSH, is solely responsible for:
  - Accessing, training in, maintaining and submitting Child Care Subsidy Data Reports to CCS system through OWNA. This is carried out in a secure home office as Sunbeams runs out of a shared space (Art Room) on Lakes Grammar – An Anglican School's premises
  - Issuing invoices to families
  - Receiving and recording CCS payments and payments from families
- ✓ OWNA is a database program installed on a personal laptop secured by a user ID and password, accessible only by Margaret Ballam.
- ✓ Records will be maintained in accordance with Sunbeams Governance Policy (Section G – Maintenance of Records)
- ✓ Family Enrolment Forms which include private records and sensitive data are kept in a secure home office accessible only by Margaret Ballam. Emergency contact details and medical records are kept in a folder on site in a specific location accessible by Sunbeams staff only and from appropriate organisations upon request.
- ✓ Records are requested to be updated as soon as there are changes in circumstance by the families, or annually. Margaret Ballam contacts families by email, phone and/or face-to-face to communicate the requirements for maintaining updated records
- ✓ All CCS records are dated and stored at the secure home office for 10 years.
- ✓ Sunbeams will endeavour to notify the Department of Education of events as detailed in the Childcare Providers Handbook (pp. 70-74), which is kept accessible in the organisation's governance files, within the specified timeframes

### CONFIDENTIALITY

All members of the **SUNBEAMS** along with the Nominated Supervisor, Responsible Person, educators, and staff who gain access to confidential information, whether in the course of their work or otherwise, shall not disclose information to anyone unless the disclosure of such information is required by law and will respect the confidentiality of all documents and meetings that occur.



This also includes:

- ✓ using information acquired for their personal or financial benefit, or for the benefit of any other person
- ✓ permitting any unauthorised person to inspect or have access to any confidential documents or other information
- ✓ any information received or transmitted via mobile telephone (including text/SMS) or any other electronic device (e.g., email) shall be treated with the same confidentiality as any other written form of communication and must be stored confidentially.
- ✓ This obligation, Nominated Supervisor, Responsible Person, educator, and staff shall continue even after the individual has completed their term and is no longer on the Management Committee or employed by the Service.

### **MAINTENANCE and RETENTION OF RECORDS**

- ✓ Sunbeams OOSH will adhere to record keeping requirements outlined in the National Regulations (177).
- ✓ Sunbeams OOSH will adhere to the storage of confidential records outlined in the National Regulations (181-184). This includes: 183 (2) The records must be kept—

(a) if the record relates to an incident, illness, injury or trauma suffered by a child while being educated and cared for by the education and care service, until the child is aged 25 years.

(b) if the record relates to an incident, illness, injury or trauma suffered by a child that may have occurred following an incident while being educated and cared for by the education and care service, until the child is aged 25 years.

(c) if the record relates to the death of a child while being educated and cared for by the education and care service or that may have occurred as a result of an incident while being educated and cared for, until the end of 7 years after the death.

(d) in the case of any other record relating to a child enrolled at the education and care service, until the end of 3 years after the last date on which the child was educated and cared for by the service.

(e) if the record relates to the approved provider, until the end of 3 years after the last date on which the approved provider operated the education and care service.





## SUNBEAMS OUT OF SCHOOL HOURS – POLICY DOCUMENT

(f) if the record relates to a nominated supervisor or staff member of an education and care service, until the end of 3 years after the last date on which the nominated supervisor or staff member provided education and care on behalf of the service.

(g) in case of any other record, until the end of 3 years after the date on which the record was made.

- ✓ Sunbeams OOSH has a responsibility to keep sufficient records about staff, families, and children to operate dependably and lawfully.
- ✓ Sunbeams OOSH will safeguard the interests of all children, their families, and the staff, using procedures to ensure appropriate privacy and confidentiality practices are upheld.
- ✓ The Approved Provider assists in determining the process, storage location, and timeline for storage of records, using the National Regulations as a minimum standard.
- ✓ Sunbeams OOSH orientation and induction processes will include the provision of significant information to managers, educators, children, and families to comply with National Regulations and Standards.
- ✓ The Approved Provider will ensure that the record retention procedure meets the requirements of the following government departments:
  - ✓ •Australian Tax Office (ATO)
  - ✓ Family Assistance Office (FAO)
  - ✓ •Family Assistance Law
  - ✓ National Law and Regulations

### Assurance – Fraud/Risk/Audit

Margaret Ballam, as Owner of Sunbeams OOSH, in consultation with the Sunbeams Accountant, is responsible for:

- ✓ Financial reporting – considering and approving annual financial statements and required reports to government
- ✓ Financial monitoring – establishing and maintaining systems of financial control, internal control, and performance reporting; reviewing the service's budget; monitoring



management and financial performance to ensure the solvency, financial strength and good performance of the service

- ✓ Regulatory monitoring – ensuring that the service complies with all relevant laws, regulations and regulatory requirements, including the Family Assistance Law

Staff are trained in the correct procedures related to the delivery and collection of children, ensuring that families understand their requirements and responsibilities and accounting for the whereabouts of children during the periods in which they are in the service's care. Staff greet families on arrival and note the time to ensure that:

- ✓ Any person delivering a child to the service must sign the attendance register and record the time of arrival and their signature. This is completed digitally via an IPAD or APP.
- ✓ The authorised nominee who is collecting a child must sign the attendance register and record the time of collection and their signature.
- ✓ Educators will acknowledge children's arrival at the service during After School Care by recording the child's name and arrival time at the service accurately.
- ✓ The rolls are completed after each Before School, After School and Vacation Care session by Margaret Ballam to enter the OWNA database at the secure home office.



### ENDORSEMENT BY THE SERVICE:

The policy will be reviewed as required. The review will be conducted by management, staff, children, families and the wider community.

Last reviewed: July 2024

Date of next review: January 2026

APPROVAL DATE: \_\_\_\_\_

DATE FOR REVIEW: \_\_\_\_\_